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# Program Statement

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OPI: CPD  
NUMBER: 3932.08  
DATE: 9/1/99  
SUBJECT: Case Management  
Training and Reference  
Guide

1. **PURPOSE AND SCOPE.** To provide guidance for training and developing Correctional Treatment Specialists (Case Managers) assigned to institutions.

2. **SUMMARY OF CHANGES.** This revision incorporates pretrial, holdover, and detainee instructions.

As a result of negotiations with the Union, changes were made to Attachment A including ensuring new Correctional Treatment Specialists get copies of Bureau policies, strengthening training requirements, adjusting the assumption of a caseload during training, and having a Case Manager mentor trainees.

3. **PROGRAM OBJECTIVES.** The expected results of this program are:

a. Correctional Treatment Specialists (Case Managers) will be provided a formal training program including reference materials to resolve routine unit/case management problems.

b. Case Managers will be proficient in all mandatory training areas.

c. The trainee and the training program will be evaluated following completion of the formal training program.

4. **DIRECTIVES AFFECTED**

a. **Directive Rescinded**

PS 3932.05      Case Management Reference and Training Guide  
(5/10/96)

**b. Directives Referenced**

PS 3510.08 Case Management Coordinator, Role of  
(6/16/97)  
PS 3906.16 Employee Development Manual (3/21/97)  
PS 5321.06 Unit Management Manual (11/29/96)

**5. STANDARDS REFERENCED**

a. American Correctional Association 2nd Edition Standards for Administration of Correctional Agencies: 2-CO-1D-06

b. American Correctional Association 3rd Edition Standards for Adult Correctional Institutions: 3-4082

c. American Correctional Association Standards for Adult Correctional Boot Camp Program: 1-ABC-1D-09

d. American Correctional Association 3rd Edition Standards for Adult Local Detention Facilities: None

**6. PRETRIAL/HOLDOVER/DETAINEE PROCEDURES.** All Case Managers, including those responsible for pretrial inmates, holdover inmates, and detainees, are required to have training.

**7. RESPONSIBILITIES.** Wardens will ensure that newly selected Case Managers participate in the formal training program which includes, at a minimum, the components presented in the Case Manager Training Plan (Attachment A).

The Associate Warden (Programs) will designate specific department heads, Case Managers, or other staff to provide portions of the training.

The institution's Case Management Coordinator (CMC) will coordinate the training program with assistance from the Employee Development Manager (EDM). The CMC will coordinate Case Manager training activities with assistance from the employee's Unit Manager.

The EDM will maintain written documentation which includes lesson plans and schedules. The CMC and Unit Manager are to review all documentation. Lesson plans will be developed at the institution level.

**8. ON-THE-JOB TRAINING.** On-the-job training (OJT) has been determined to be the most effective method to prepare newly selected staff for the demands of their new positions.

Accordingly, a minimum 90 day (480 hour) OJT period at each institution is established. During the OJT phase, the Case Manager will function with reduced caseload responsibilities for at least 90 days while learning and performing case management duties.

When the newly selected staff member has previous case management experience (e.g. former Case Manager, intern, etc.) or other exceptional circumstances exist, the Warden may recommend a less than 90 day OJT period. The Regional Correctional Programs Administrator will approve or deny this recommendation. However, the Case Manager must be certified in the mandatory training areas. Case Manager trainees should complete the OJT program, including certification, during the case management trainee period.

9. **CERTIFICATION.** Certification of proficiency in the Mandatory Training areas of the Reference Guide is to be completed during the Case Manager's OJT. Additional national certifications include Central Inmate Monitoring and Unit Discipline (UDC) Self-Study Certification. Ordinarily, all training/certification programs must be completed within the 90 day OJT period. Staff must be conscious of recertification procedures in national policy.

Case Managers should not be assigned a full caseload during the OJT period. It is recommended that promotion be contingent upon successfully completing all 10 mandatory training areas.

10. **EDM.** The CMC must notify the EDM when the Case Manager's enrollment in the 90 day OJT period has begun. Similarly, when the OJT period has ended, the completed certifications must be forwarded to the EDM for inclusion in the employee's training records. The EDM will assist the employee's Unit Manager in monitoring the employee's career development plan.

11. **EVALUATION.** Upon completion of the OJT period:

a. The Case Management Coordinator, the employee's Unit Manager, and the employee will meet to:

- ! discuss the employee's performance during the training period,
- ! identify additional training needs, and
- ! discuss future expectations.

This discussion must be documented, signed by the CMC, Unit Manager, Associate Warden (Programs), and the employee to certify program completion.

b. The employee will complete a written evaluation of the OJT program. This evaluation, at a minimum, must review the following areas:

- ! suitability of course content,
- ! length of training period,
- ! the three most important areas covered, and
- ! changes that could improve the program.

The original must be forwarded to the Region and a copy to the institution EDM within 15 days of the program's completion. The Regional Correctional Programs Administrator will appoint an individual in the Regional Office to be responsible for receiving and reviewing the written evaluations.

/s/

Kathleen Hawk Sawyer  
Director

## **CASE MANAGER TRAINING PLAN**

### **1. DEPARTMENT ORIENTATION**

During the OJT period, the newly selected Case Manager will have a formal orientation with all departments (normally lasting between two and four hours for each department) within the institution, with special emphasis on the areas listed below which have a close association with unit/case management. Case Managers employed at detention institutions will be required to undergo a similar orientation. However, Case Managers transferring from another institution or department will undergo an abbreviated department orientation to include, at a minimum, an introduction to the department heads the Case Manager will be consulting with regularly.

- (a) Inmate Systems;
- (b) Education;
- (c) Correctional Services;
- (d) Psychology Services;
- (e) Health Services;
- (f) Financial Management;
- (g) Religious Services;
- (h) Legal Services; and,
- (i) Computer Services.

The CMC will coordinate and monitor the Case Manager's orientation to institution departments to ensure that quality training is conducted. Case Managers with limited or no prior correctional experience may require additional training time.

### **2. MANDATORY TRAINING AREAS AND CERTIFICATION**

All newly selected Case Managers, including those at detention institutions, will be required to demonstrate their knowledge and skills of case management topics. The topics listed below, because of their critical nature, require certification by the specified subject matter expert. In addition to the areas listed below, Case Managers at detention institutions must be familiar with the Program Statement on Pretrial Inmates.

- (a) SENTRY/BOPDOCS;
- (b) Inmate Central File;
- (c) Intake Screening;
- (d) Classification and Program Reviews (including Security Designation and Custody Classification Manual);
- (e) Progress Reports;

- (f) U.S. Parole Commission;
- (g) Correspondence;
- (h) Privacy Act/FOI/Locator Center;
- (I) Inmate Financial Responsibility Program;
- (j) Victim and Witness Notification; and,
- (k) DC Offender issues, if applicable.

Certification of proficiency is required and awarded after Case Managers have successfully demonstrated they can perform the task(s) listed under "Functions" for each performance objective. The CMC will assist the new Case Manager in developing a manual containing example copies of case management products such as progress reports, congressional correspondence, treaty transfers, staff summaries, request for post-sentence reports, CIM packets, requests for CIM documentation, VWP correspondence, CCC referrals, supervised release plans, transfer requests (409 form), and SENTRY transactions. Competency must be demonstrated and tasks discussed in all of the mandatory areas listed on the performance objectives certification forms.

Ordinarily, the first 30 days of OJT will be devoted to Release of Information, Locator Center, CIM and UDC certification, securing, reviewing and learning applicable program statements, learning how to accomplish initial classifications, program reviews, and general familiarization with new duties. Ordinarily, no inmate will be assigned during this 30-day period.

Ordinarily, the second 30 days of OJT the Case Manager will be assigned a case load of approximately 1/3 of the expected caseload size. During the third 30 days, the Case Manager will be assigned a caseload of 2/3 of the expected caseload size.

During the 90 day OJT period, circumstances may arise where the CMC may not have an actual case with which to measure the proficiency of the Case Manager in that specific subject matter area. When this occurs, the CMC will create a hypothetical case in order to determine the Case Manager's knowledge in this area.

Certification forms can be retrieved from BOPDOCS. In addition, the CMC will ensure that Case Managers can demonstrate their ability to access policy through using BOPDOCS. A working knowledge of BOPDOCS is essential in order to retrieve current Program Statements and Operations Memorandums.

In addition to the above areas, the Case Management Coordinator will instruct the Case Manager on locating the appropriate Institution Supplements which pertain to or have a close association with unit/case management. Although

certification is not required in this area, Case Managers will demonstrate their knowledge of how to access Institution Supplements when applicable.

### 3. REFERENCE GUIDE

The Reference Guide will be comprised of three major components:

(a) Current national Program Statements applicable to each unit/case management function (if BOPDOCS is available and easily accessible, hard copies of the Program Statements do not need to be maintained in a working binder);

(b) Current Institution Supplements (if applicable) for Program Statements (if LAN is available and easily accessible, hard copies of the Institution Supplements do not need to be maintained in a working binder);

New Case Managers will be provided hard copies of all applicable Program Statements and Institution Supplements as noted in Section 2 as soon as practicable upon assumption of case management duties.

(c) Other Memorandums. Case Managers should maintain an up-to-date Reference Guide for use in resolving everyday unit/case management issues.

The CMC will either retrieve or assist the Case Manager in using BOPDOCS to assemble the Case Management Training and Reference Guide (as outlined in Section 3). CMCs who do not have immediate access to BOPDOCS may, upon request, receive a Training and Reference Guide from the Chief, Policy Review and Development, Correctional Programs Branch, Central Office. Case Managers are responsible for updating their Reference Guides as policy and procedural changes are made.

During the OJT phase, the newly selected Case Manager will be placed in a mentoring relationship with a highly motivated and qualified Case Manager. The Case Manager mentor need not be assigned to the selected Case Manager's unit.